



**COMMISSION MEMBERS:**  
PAUL M. VETTORI, *Chairman*  
ROBERT G. BLUE  
RACHEL T. MCGUCKIAN  
JACOB YOSEF MILIMAN

## STATE ETHICS COMMISSION

45 CALVERT STREET, 3<sup>RD</sup> FLOOR  
ANNAPOLIS, MARYLAND 21401  
410-260-7770 / 1-877-669-6085  
FAX: 410-260-7747

MICHAEL W. LORD  
*Executive Director*  
JENNIFER K. ALLGAIR  
*General Counsel*  
WILLIAM J. COLQUHOUN  
*Staff Counsel*  
KATHERINE P. THOMPSON  
*Assistant General Counsel*

January 12, 2015

TO: Financial Disclosure Filers

SUBJECT: Financial Disclosure of Liabilities to Persons Doing Business with the State  
(Schedule F of the Financial Disclosure Form)

The State Ethics Law requires that a filer list on Schedule F of the Financial Disclosure Form all indebtedness, excluding credit accounts, owed at any time during the reporting year to persons doing business with the State. Doing business with the State includes entities involved in lobbying, entities regulated by the filer's agency, and entities involved in sales, purchases, leases or contracts with the State of at least \$5,000.

Below is a listing of financial entities doing business with the State. The State Ethics Commission maintains a more extensive list of entities that may also be involved in lending or other activities. If you owed money to any of these financial institutions during the reporting period, you must disclose the details on **Schedule F**. If you need any further assistance, please do not hesitate to call our office.

### **FINANCIAL INSTITUTIONS DOING BUSINESS WITH THE STATE - 2014**

1<sup>st</sup> Mariner Bank  
Academy Securities  
AgFirst Farm Credit Bank  
Ahold Financial Service  
Alamo Capital  
All Points Public Funding, LLC  
Ancora Securities Inc.  
Banc of America  
Bancorp Bank  
Bank of America  
Bank of America Merrill Lynch  
Bank of Annapolis  
Bank of New York  
Bank of New York Mellon  
Bank of Nova Scotia  
Barclays Capital  
BB&T (Branch Banking & Trust Co.)

BB&T Capital Markets  
Beasley Financial Services Company  
Blaylock Robert Van, LLC  
BMO Capital Markets  
BNP Paribas Securities Corp.  
BOSC, Inc.  
Brown Advisory Securities  
Cabrera Capital Markets  
Calvin B. Taylor Bank  
Cantor Fitzgerald & Co.  
Capitol One Bank  
Castleoak Securities, LP  
CFG Community Bank  
Chapin Davis  
Charles Schwab & Co., Inc.  
Citi Capital  
Citibank

CitiCorp Leasing, Inc.  
Citigroup Global Markets, Inc.  
Citimortgage, Inc.  
Citizens Alliance Bank  
CNB (formerly Centreville National Bank)  
Columbia Bank  
Columbia Bank, Hagerstown Trust Division  
Commerce Capital Markets  
Community Bank of the Chesapeake  
Credit Suisse Securities, LLC  
CRT Capital Group, LLC  
D. A. Davidson & Co.  
Daiwa Capital Markets America Inc.  
Davenport & Company, LLC  
De Lage Landen Financial Services  
Deutsche Bank  
Drexel Hamilton  
Eagle Bank  
Federated Securities Corp.  
Fidelity Capital Markets  
Finacorp Securities  
First Empire Securities  
First Mariner Bank  
First Place Bank  
First Peoples Community FCU  
First United Bank & Trust  
Folger Nolan Fleming Douglas, Inc.  
Foothill Securities, Inc.  
Foreman Financial Group  
FRS Securities, LLC  
FTN Financial  
Gilford Securities, Inc.  
Gleacher & Company Securities, Inc.  
Goldman Sachs & Co.  
Goode Investment Management, Inc.  
Grant Capital Management, Inc.  
Great Lakes  
Great Pacific Securities  
Greentree Brokerage Securities  
GRW Capital Corporation  
Guzman & Company  
Hapoalim Securities USA, Inc.  
Harbor Bank of Maryland  
Heritage Park Cooperative  
Hopkins Federal Savings Bank  
HSBC Securities (USA), Inc.  
Incapital, LLC  
Industrial Bank, Inc.  
International Financial Solutions, Inc.  
Jackson Securities

Janney Montgomery Scott, LLC  
Jefferies & Company, Inc.  
JP Morgan  
JP Morgan Asset Management  
JP Morgan Chase Bank  
JP Morgan Securities, Inc.  
JVB Financial Group, LLC  
Kaufman Bros. LP  
KeyBanc Capital Markets  
Lafayette Investments, Inc.  
Lebenthal & Company  
Loop Capital Markets, LLC  
M&T Bank (Manufacturers & Traders Trust Co.)  
M&T Securities, Inc.  
M. F. Global, Inc.  
Marlin Business Bank  
MD Global Partners, LLC  
Mellon Bank  
Mellon Financial Markets, LLC  
Merrill Lynch & Co.  
Merrill Lynch, Pierce, Fenner & Smith, LLC  
Mesirow Financial, Inc.  
MFR Securities, Inc.  
Midwest Bank Note Company  
Mischler Financial Group  
Mizuho Securities USA, Inc.  
Morgan Keegan & Company, Inc.  
Morgan Stanley & Company, Inc.  
Multi-Bank Securities, Inc.  
Muriel Seibert & Company, Inc.  
National Bank of Cambridge  
Nomura Securities International, Inc.  
Northeast Securities  
Official Payments Corp.  
Old Line Bank (formerly Maryland Bank & Trust)  
Oppenheimer & Company Inc.  
Pacific American Securities, LLC  
Peoples Bank  
Peoples Bank of Elkton  
Percival Financial Partners  
Piper Jaffray  
PNC Bank  
Provident Bank  
Quoin Capital, LLC  
Raymond James & Associates, Inc.  
RBC Capital Markets  
RBC Dain Rauscher  
RBS Securities, Inc.  
RCAP Securities, Inc.  
Rice Financial Products, Co. (Apex Pryor Sec.)

Robert Baird & Co., Inc.  
Sallie Mae  
Samuel A. Ramirez & Co.  
Sandy Spring Bank  
SBK Brooks Investment Corporation  
SECU (State Employees Credit Union)  
Seibert, Branford Shanke Co., LLC  
SG Americas Securities, LLC  
Sigma Financial Corporation  
South Street Securities, LLC  
Southwest Securities, Inc.  
Sovereign Securities Corporation, LLC  
Stanford Group Company  
State Street Bank  
Stephens Inc.  
Sterne Agee & Leach, Inc.  
Stifel Nicolaus & Company, Inc.  
Stone & Youngberg, LLC  
Sun Trust Robinson Humphrey, Inc.  
SunTrust Bank, Inc.  
Susquehanna Bank  
TD Bank  
TD Securities (USA), LLC  
Telsey Advisory Group  
Toussaint Capital Partners  
Tullet Prebon Financial Services, Inc.  
U.S. Bank  
U.S. Bank Corporate Trust Services  
UBS Securities LLC (Paine Weber)  
USCG Community Credit Union  
Utendahl Capital Partners, L.P.  
Vining Sparks IBG, L.P.  
VSR Financial Services  
Wachovia Bank (Prudential Securities)  
Wall Street Access  
Washington Securities Corporation  
Wedbush Securities, Inc.  
Wells Fargo Advisors  
Wells Fargo Bank  
Wells Fargo Brokerage Services  
Wells Fargo Home Mortgage  
Wex Bank  
William Smith & Co.  
Williams Capital Group, LP  
Xavier Capital Management